CARE FUNCTIONAL REVIEW
INFORMATION TECHNOLOGY ACTIVITIES

5.0   AFM Systems (For information on the interpretation or clarification on the functional questions in this section, please contact Pete Lombardo, ARS Office of the Chief Information Officer (OCIO) Web Branch Chief, on 301-504-4550.)

- Is the Location experiencing any problems updating information in the REE Directory?

- The REE Directory contains information on all ARS employees. Each Location should verify personnel and locator information on http://isbprod.ars.usda.gov/dir2/viewemp$.startup and submit needed updates. Contact the Location Information Technology Specialist for assistance.

5.01   Voice/Data/Video Telecommunications (For information on the interpretation or clarification on the functional questions in this section, please contact Brenda Katulski, ARS/OCIO, on 301-504-1100.)

- Has the Location received approval from its Area Information Technology Specialist (AITS) and Brenda Katulski, the ARS Telecommunications Mission Area Control Officer (TMACO), and, if appropriate, an approved Department Unplanned Change Waiver or IT Acquisition Waiver before ordering dedicated telecommunications equipment or services per the REE Centralized Telecommunications Management Plan (CTMP) dated 04-30-97, the USDA Telecommunications Network Stabilization and Migration Program (TNSMP)) dated 04-04-97, the USDA DR-3300-1 dated 03-23-99, and the USDA CIO IT Acquisition Moratorium Memo dated 05-13-03.

- Per Departmental policy, dedicated telecommunications purchases, regardless of dollar value or source, are subject to strict planning and procurement processes. Dedicated telecommunications includes routers, servers, switches, hubs, multiplexers, PBXs, KSUs, video equipment, certain kinds of wireless equipment (not cell phones or pagers), circuits, network management contracts, software management programs, etc. used for long distance data, voice, and/or video. The CARE Team should review dedicated telecommunications purchases to ensure that there is documentation that the AITS and the ARS TMACO have approved the purchases and that any appropriate waivers have been approved.

    As indicated in the memo from the USDA Chief Information Officer dated 05-13-03, the USDA/OCIO requires each agency to obtain an approved waiver for IT acquisitions (including dedicated telecommunications purchases) of $25,000 or greater prior to purchase. The Location should submit all draft waiver requests and supporting documentation to Gary Rich, ARS/OCIO. Gary then reviews the waiver request, circulates it for internal review and comment within OCIO, and prepares the final draft for signature by the Administrator and submission to the USDA/OCIO for approval.

    The CARE Team should review dedicated telecommunications purchases over $25,000 to ensure that a waiver request was submitted and approved per this policy.

- Per the Department's TNSMP dated 04-04-97, dedicated telecommunication purchases

regardless of dollar amount must be entered into the Forecasting Inventory Reporting System (FIRS) by the TMACO prior to purchase. FIRS is open three times a year for the TMACO to enter this information. If it is not open at the time a purchase is desired, the Location must submit an Unplanned Change Waiver request to the ARS TMACO for Department approval prior to purchase. The CARE Team should review all dedicated telecommunications purchases regardless of dollar amount to confirm that they have either been entered into FIRS or have an approved unplanned change waiver.

- Does the Location use GSA's FTS2001 contract for intraLATA (also called "local toll"); interLATA (also called "long distance"); and international voice, data, and video telecommunications services? If not, does it have an approved exception from the ARS TMACO?

  Departmental policy requires that the FTS2001 contract be used for these services. However, some Locations may not be able to comply with some provisions of this requirement because they are using university or state services that are mandatory for that Location. Ask to review any telephone bills to see whether they are being billed for local toll, long distance, and/or international calls via another vendor (not MCI's FTS2001).

  The CARE Team should note exceptions in the report with the reason the Location is not using the FTS2001 contract.

- Has the Location consulted the GSA Federal Wireless Contract prior to acquiring cellular or pager services or the FTS2001 contract to acquire pager service?

  The GSA Federal Wireless and the GSA FTS2001 contracts are not mandatory for these services but Locations are required to compare these contracts prior to ordering equipment or service elsewhere. Contact Tony Koontz, ARS/OCIO/Infrastructure Branch on 301-504-1097 for cost benefit analysis support.

- Does the Location use radio frequencies? If so, are they authorized Government frequencies issued by the National Telecommunications Information Administration (NTIA)? If yes, has the radio, telemetry, or Global Positioning System (GPS) equipment been certified for narrow banding? If no, when does the Location plan to replace/upgrade this equipment? Contact Maureen Harris, ARS/OCIO on 301-504-1077 for assistance.

  If the Location uses radios, telemetry, or GPS equipment to transmit data, it must have authorization for a Government radio frequency on file (per USDA DR 3300-1 and ARS Directive 260.1. Examples of telemetry and GPS equipment: transmitters on cattle that send information to data collection systems; wireless hydrologic measurement tools; GPS systems on tractors; weather condition measurement tools sending information back to a central collection point using wireless modems.

  Due to the upcoming mandatory transition to narrowband, the NTIA has instituted a program whereby all Government agencies that operate land mobile radio systems in the 162-174 MHz (VHF) and 406-420 MHz (UHF) frequency bands must convert from the present 25 KHz channel spacing to 12.5 KHz channel spacing by January 1, 2005 and January 1, 2008, respectively. As of these dates, the equipment must be able to operate at 12.5 KHz (narrowband) on either side of the assigned frequency. (Equipment purchased after 1995 should already meet these requirements.)

After receipt of a request for a frequency assignment, the REE Frequency Manager is responsible for requesting a Radio Frequency Authorization (RFA) from the NTIA. Prior to using the radio frequency, a Location must have the Radio Frequency Authorization (RFA) in hand. Ideally, the Location should have the RFA prior to purchasing equipment. NOTE: Requests for new radio frequency assignments take at least six months, and often much longer, so planning is important.

Locations may not use non-Government (FCC) frequencies, such as those utilized by radios purchased from Radio Shack. Use of non-Government (FCC) radio frequencies that are licensed to local public safety or university organizations is allowed ONLY with a mutually-approved arrangement. As part of this arrangement, the Government agency must obtain, from the non-Government licensee, written certification that the Government operation of these radios is necessary. A copy of this certification should be forwarded to the REE Frequency Manager.

In accordance with NTIA and USDA directives, all RFAs must be reviewed every five years from original approval or modification so that frequencies no longer required can be released for use elsewhere. The Radio Frequency Manager is in charge of this review and will contact Locations when respective RFAs are due for review.

Please ensure Location has RFAs in their possession for any equipment they operate as listed above.

- Does the Location have a need for secure telephone/fax or GETS cards? If yes, does the person/persons who would have access to the secure phone/fax have appropriate security clearances? Are these items secured according to regulation?

  These communications options are used primarily in a COOP situation. While most Locations would have no need for such items, there may be some Locations/persons (i.e., BSL-3 labs, top Area Administration) that would find them beneficial for continuity of operations in an emergency situation. DR3300-1, Appendices D and J define the requirements for National security and emergency preparedness telecommunications. Contact the Area Office or Maureen Harris, ARS/OCIO on 301-504-1077 for assistance.

5.02 Information Systems Security (For information on the interpretation or clarification on the functional questions in this section, please contact Bill Keen, ISSPM, ARS/ OCIO/ Cybersecurity Branch on 301-504-1072.)

- Has a Security Point of Contact been assigned at the Location?

  P&P 253.3, "ARS Information Systems Security Program," states that a Security Point of Contact must be assigned at each ARS Location by the Deputy Area Directors, with the assistance from Location Coordinators.

  The Security Point of contact serves as primary security liaison with the AITS, Deputy Security Officer, and the Headquarters Information System Security Program Manager (ISSPM).
  Has information about the Security Point of Contact been provided to the Agency ISSPM and if so, is it current?

  The ARS/OCIO Cybersecurity Branch keeps a current file of all after duty security Points

of Contact in the event a security incident occurs after hours. The following information can be electronically sent to ARS-OCIO-CyberSecurity@ars.usda.gov:

Name of contact(s)
Work number
After hours number
Pager (if applicable)
Cell number (if applicable)
E-mail address
Platforms: Server/PC type, software, html editor
Operating system and version
Internet Protocol (IP) addresses

- Has a security plan been developed for each general support system and major or non-major application within the Location and submitted to the ARS OCIO?

  P&P 253.3, "ARS Information Systems Security Program," requires Locations to update and submit an annual security plan. The guideline for developing ARS Information Systems Security Plans is entitled 'User Guide for Developing and Evaluating Security Plans for Unclassified Federal Automated Information Systems,' (the guideline) Draft Version 6.03, dated July 18, 1997."

  This guideline and templates can be found on the OCIO Cyber Security Home Page located at http://www.arsnet.usda.gov/ocio_intra/cybersecurity/secplanGT.html

  Both security plans and system self assessments are to be updated annually and are due to the ARS OCIO Cybersecurity Branch by April 15 of each year.

- Does the Location follow the Agency's security incident procedures?

  DM 3505-001, "Incident Response Procedures," states that every agency/mission area must use the following Incident Reporting Forms and Contact Lists in order to properly respond to IT Incidents. Each form has time frames for required agency action.

  A procedure developed by the ARS OCIO Cybersecurity Branch identifies the steps and actions to be taken by systems administrators when a security incident occurs:

  - Preliminary Reports are to be completed and sent to the Agency ISSPM within 24 hours of notification of an incident regardless of the source of the notification or level of magnitude.
  - Final Reports are to be completed no later than 30 days from official notification of each major IT Incident and submitted to the Agency ISSPM.

- Do employees know how to report or recognize misuses of IT resources? P&P 253.4, "Use of Information Technology Resources," requires that all employees notify their immediate supervisor if they have reason to believe IT resources are being used for other than authorized purposes.

- Are systems reviewed periodically to ensure inactive employee accounts are deactivated and removed?

- Does the Location ensure that terminated/transferred employees no longer have access to Agency IT resources such as the network, NFC, or remote access accounts?

  The National Institute of Standards and Technology (NIST) Special Publication (SP) 800-14, "Generally Accepted Principles and Practices for Securing IT Systems," states that organizations should ensure effective administration of users' computer access to maintain system security, including user account management, auditing, and the timely modification or removal of access.

- Is annual Security Awareness Training being taken by all employees who use ARS IT resources?

- Has Security Awareness training been given to all new employees?

  DM 3545-001, "Computer Security and Training Chapter 9, Pt. 1,"requires that all USDA personnel involved in the management, use, design, development, maintenance, or operation of an application or automated information system shall be made aware of their security responsibilities based on their level of access to systems and data (need-to-know) and trained to fulfill them.

5.03   Information Collection from the Public (For information on the interpretation or clarification on the functional questions in this section, please contact Yvette Anderson, ARS/OCIO on 202-720-4030.

- Does the Location obtain OMB approval before conducting surveys to the public?

  The Paperwork Reduction Act and OMB regulations require advance OMB approval before collecting information from 10 or more persons outside the Federal Government. This includes questionnaires, surveys, and applications for services, regardless of the media. For example, Web sites are now used to gather information. For further information and assistance, first contact the Area Office, then the Information Collection Officer in OCIO.

5.04   Records Management (For information on the interpretation or clarification of the functional questions in this section, please contact Steve Pollard, REE Records Management Officer and REE Classified Material Officer, ARS/OCIO on 202-720-3359.

- Does the Location establish, maintain, protect, and dispose of records according to current NARA and Departmental and Agency policies?

  According to ARS P&P 251.8 (http://www.afm.ars.usda.gov/ppweb/), "Documentary materials created or received (by the REE agencies of USDA) in pursuance of Federal law or in connection with the transaction of public business are records and the property of the U.S. Government. They must not be removed from agency custody or destroyed without the approval of NARA. Employees may dispose of records, regardless of media, only in accordance with the General Records Schedules (GRS) or a NARA-approved records control schedule for the agency…Schedules contain NARA-approved retention periods and instructions on what to do with records when they are no longer needed to conduct Agency business."

- Does the Location retire or transfer eligible records to a Regional Records Facility?

    Instructions for retiring/transferring records are contained in Manual 251.8. To determine which facility services the Location, staff should first contact their Area Office for advice and assistance, and then visit the National Archives and Records Administration (NARA) Web site http://www.archives.gov/facilities/index.html or contact Steve Pollard on 202-720-3359.

- Does the Location have records that would be categorized as "National Security Classified," "Secret," or "Top Secret?" If so, are they maintained in accordance with Departmental Manual DM-3440-1? Contact the Area Office or Steve Pollard on 202-720-3359 for further assistance.

5.05   Policy and Procedures Management (For information on the interpretation or clarification on the functional questions in this section, please contact Jackie Sharp-Hendrix, ARS/OCIO on 202-720-5507.)

    See http://www.afm.ars.usda.gov/ppweb/ for information on this subject. For information about the REE Administrative Issuances system, consult P&P 010, "The REE Administrative Issuances System," dated May 25, 1999. When new issuances are added to the P&P Web site or when major changes are made to issuances, the REE Issuances Manager will notify ARS DADs and Location Administrative Officers via email.

- Is the Location using the latest version of administrative issuances that are on the P&P Web site? If not, why not? Are these issuances in a format that is usable by the Location? If the Location is using issuances that have been canceled or replaced, the CARE Team should list the number, title, and date of these issuances as well as the reason. This will be used to help rewrite existing issuances so that they will better serve the organization.

5.06   Printed Forms (For information on the interpretation or clarification on the functional questions in this section, please contact Yvette Anderson, ARS/OCIO on 202-720-4030.)

- Is the Location encountering any problems ordering forms from the Beltsville Services Center, Beltsville, Maryland?

    Any Location needing paper copies of forms can order them from the Beltsville Service Center, Beltsville Maryland. These orders may be placed either via a paper copy of AD-14 or CFPDC-1, or through the electronic ordering system. Locations should contact their Area Offices for more information.

- Are printed envelopes or letterhead ordered?

    Offices that have a need for letterhead design, envelope design, etc. should contact the representative for their Location. (ARS P&P 256.2, "Printed Letterhead, Envelopes, Postcards, Mailing Labels," dated 01/11/94.)

5.07   Mail and Messenger Services (For information on the interpretation or clarification on the functional questions in this section, please contact Yvette Anderson, ARS/OCIO on 202-720-4030.)

See http://pe.usps.gov/text/DMM/P030.htm and http://pe.usps.gov/text/qsg/q024.htm for further information.

- Does the Location maintain accountability records of the postage meter activity?

  If the Location is metering its own mail, ARS P&P 263.3, dated 04/02/91, and the U.S. Postal Service (USPS) require manual or automated accountability records of postage meter activity. Either PS Form 3602-A, "Daily Record of Meter Register Readings," or an in-house automated system should be used. Accountability records must be maintained for six years before disposition in accordance with the General Records Schedule.

- Does the Location properly secure the postage meter?

- Is the postage meter inspected according to postal regulations (see above Web sites for table)?

5.08   IT Resource Planning (For information on the interpretation or clarification on the functional questions in this section, please contact Doug Page, ARS/OCIO Chief Technical Officer, on 301-504-5600.)

- Verify that the unit ARMP includes IT purchases planned and required for the fiscal year, including hardware/software replacements and purchases, dedicated telecommunications acquisitions (circuits, routers, telephone systems), maintenance and support contracts, Web-page development, support, etc.

  The Location is required to forecast planned acquisitions of dedicated telecommunications services and equipment in its annual ARMP package (see Administrator's ARMP "kickoff" letter). Due to special Departmental mandates for telecommunications, all such equipment, regardless of cost, must be included in the forecast. Review the Location's last ARMP package to see if any dedicated telecommunications services and equipment were forecasted and make a note of that on the report.

- Verify that all planned acquisitions which are $25,000 or greater are supported by an IT acquisition waiver request.

  As indicated in the memo from the USDA Chief Information Officer dated May 13, 2003, the USDA/OCIO requires each agency to obtain an approved waiver for IT acquisitions of $25,000 or greater. All draft waiver requests and supporting documentation are forwarded to Gary Rich, ARS/OCIO. Gary then reviews the waiver request, circulates it for internal review and comment within OCIO, then prepares the final draft for signature by the Administrator and submission to the USDA/OCIO for approval.

5.09   Telecommunications Billing and NFC (For information on the interpretation or clarification on the functional questions in this section, please contact Brenda Katulski, ARS/OCIO TMACO, on 301-504-1100.)

•   Does the Location pay for recurring local telecommunications service bills through the TELE for commercial services or an MO (for local GSA services and FTS2001) at the National Finance Center (NFC)?

•   Are non-recurring telecommunications equipment and services being procured and paid for through the NFC PRCH payment method if over $350?

•   Per Bulletin 03-001 dated 11-24-03 and AGAR Advisory 58 dated 10-3-03 regarding telecommunications purchases, purchase cards can only be used to purchase telecommunications equipment under $350 unless the purchase is necessitated by an emergency as defined in the bulletin and the advisory. All non-recurring telecommunications equipment over $350 must be purchased with a purchase order. All recurring telecommunications services must be paid with a TELE account created via TUMS (for commercial services) or an MO (for GSA telephone lines and FTS2001). Telecommunications purchases necessitated by an emergency must be documented and forwarded to the ARS TMACO per the bulletin instructions for approval or disapproval. Check purchase card transactions and purchase orders for compliance of this policy. If a purchase card was used for an emergency purpose, check to ensure that the ARS TMACO was notified and approved the emergency transaction.

•   Does the Location review and update its TELE accounts via TUMS at least annually to make sure the account information is accurate – such as the T&A contact point, the service location address, the service and toll dollar limits, etc.? Does the location cancel TELE accounts via TUMS that are no longer active?

TUMS access is via www.nfc.usda.gov and requires a user id and password. Nicole Oliver-Coleman, the ARS NFC Security Officer, should be contacted on 301-504-1074 to obtain a user id   and password if needed. TELE accounts should be monitored via TUMS to ensure that agencies know what NFC is paying on these accounts every month and to ensure that NFC has a current contact person if they have a billing question regarding one of these accounts.

•   Does the Location have their recurring TELE telecommunication bills sent to them first for review prior to sending to NFC for payment? Per Bulletin 03-001 and AGAR Advisory 58, they should be receiving their telecommunications bills first for review so that they can notify NFC if the bill is incorrect and should not be paid in its entirety as they address the issue with the vendor.

•   If the Location has GSA telephone lines, does it review its GSA TOPS account monthly to ensure that the telephone line inventory and billing are correct? The NFC MO payment system is for GSA services provided through the Federal Telecommunication Service (FTS) consolidated switch sites, which are usually located in a Federal building – but not always. The GSA TOPS system may be used for verification of services and billing. It can also be used to track GSA orders. The ARS TMACO, Brenda Katulski, must approve access to TOPS.

5.10   <u>Web Sites</u> (For information on the interpretation or clarification on the functional questions in this section, please contact Pete Lombardo, ARS/OCIO Web Branch Chief, on 301-504-1073.

- Does the Location have a public-facing Web site?

  Provide the following information for the Location's public-facing Web site(s). If there is more than one public-facing Web site, please duplicate requested information.

  Web Site Base URL: _____

  Responsible Location (and Mode Code)
  Is this the primary organizational site for this location?
  Primary contact(s):
                  Name:
                  E-mail address:
        - Technology/Platforms (such as Server-side Includes, ASP, JSP, or ColdFusion)
        - Key Word Phrases (such as "Children Nutrition")

- Is the Web site compliant with USDA regulations?

  USDA Directive "Home Page Development and Maintenance," DR3430-001 can be found at http://www.usda.gov/directives/files/dr/DR3430-001.htm. Particular attention should be paid to Accessibility in accordance with Section 508 of the Rehabilitation Act.

- Does the Location make best use of existing Web/Internet communication services rather than duplicating them?

  The ARS Web Site presents information on all ARS employees as well as all research projects, Locations, publications, and patents approved for public disclosure. The data for these come from the ARIS and REE Directory databases. For more information, send an email to webmaster@ars.usda.gov.

  In addition, email list services (aka listserve) are available for use in communicating with both the public and workgroups who span across agencies. For more information, send an email to webmaster@ars.usda.gov.

- Is the Location experiencing any problems getting information updated on the ARS Web Site?
  Each Location should verify its relevant information and submit needed updates as outlined in http://www.arsnet.usda.gov/web/arsredesign/faq/faq.htm. Email webmaster@ars.usda.gov for assistance.

- Does the Location make best use of existing Collaboration/Intranet communication services rather than duplicating them? Each Location should look to the ARSIntranet/ Sharepoint platform for its online collaboration needs. Users should contact their Location IT Specialist or email sharepoint@ars.usda.gov for assistance.

5.11   eAuthentication (For information on the interpretation or clarification on the functional questions in this section, please contact Keith Ware, ARS/OCIO on 202-720-2390.)

- Are employees at the location aware of the Federal Government's eAuthentication credentialing process and that these credentials must be established prior to accessing systems such as the AgLearn on-line training management system?

  Many Federal services and applications are available to USDA employees and customers electronically. In order to access certain systems USDA employees must establish their eAuthentication credentials and acquire a standard username and password.

  The data required for credentialing are available on the employee's most recent Earnings and Leave Statement (AD334) which is mailed by the National Finance Center (NFC) and also on the Personnel Action Form SF-50. If the employee does not have the most recent versions of these documents, they should contact the location administrative officer or their servicing human resources assistant.

  The USDA eAuthentication Web Site is located at http://www.eauth.egov.usda.gov. The USDA Directive 3610-001 (11/04/04), "USDA eAuthentication Services" is located at http://www.ocio.usda.gov/directives/files/dr/DR3610-001.htm.

- Are employees at the location experiencing any problems getting an eAuthentication credential established?

  The Frequently Asked Questions for the USDA eAuthentication are located at http://www.eauth.egov.usda.gov/eauthFAQ.html. For assistance with the employee credentialing implementation process, contact the eAuthentication Help Desk at eAuthHelpDesk@usda.gov or call toll free 1-800-457-3642. In the event the eAuthentication Help Desk is unable to provide assistance, ARS employees should contact their Area IT Specialist or the ARS Help Desk at 202-720-3908 or 301-504-1074.